



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/842.284         | 04/24/2001          | Nicolas Pop           | 10010.945CPAC          |

CONFIRMATION NO. 5542

22804  
THE HECKER LAW GROUP  
1925 CENTURY PARK EAST  
SUITE 2300  
LOS ANGELES, CA 90067

## FORMALITIES LETTER



\*OC000000006193174\*

Date Mailed: 06/18/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 840.**

*A copy of this notice MUST be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

00000042 09042204

710.00 DP  
130.00 DP



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: )  
 )  
POPP et al. )  
 )  
Serial No: 09/842,284 )  
 )  
Filed: April 24, 2001 )  
 )  
For: METHOD AND APPARATUS FOR )  
DEVELOPING AND MANAGING )  
INTERNET TRANSACTIONS )

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RESPONSE TO NOTICE TO FILE MISSING PARTS

Assistant Commissioner for Patents  
BOX MISSING PARTS  
Washington, D. C. 20231

Sir:

Responsive to the Notice to File Missing Parts of Application with a mailing date of June 18, 2001, Applicant has enclosed the following:

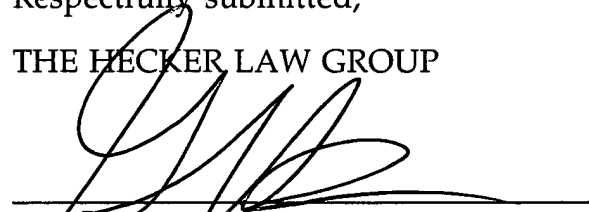
1. A check in the total amount of \$840, consisting of the basic filing fee (\$710) and surcharge (\$130) as set forth in 37 CFR §1.16(e);
2. A copy of the Notice to File Missing Parts;
3. Certificate of mailing by First Class Mail; and
4. A return receipt postcard.

The Commissioner is hereby authorized to charge any additional fees, or credit any overpayment associated with this communication to The Hecker Law Group, Deposit Account No. 08-1520.

Respectfully submitted,

THE HECKER LAW GROUP

Date: July 9, 2001

  
\_\_\_\_\_  
Gary A. Hecker  
Reg. No. 31,023

THE HECKER LAW GROUP  
1925 Century Park East  
Suite 2300  
Los Angeles, California 90067  
(310) 286-0377

**CERTIFICATE OF MAILING**

*This is to certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231 on July 9, 2001.*

 7-9-01  
\_\_\_\_\_  
Signature Date



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

POPP et al.

Serial No.: 09/842,284

Filed: April 24, 2001

Title: METHOD AND APPARATUS FOR  
DEVELOPING AND MANAGING  
INTERNET TRANSACTIONS

Examiner: Unassigned

Art Unit: 2671

REQUEST FOR CORRECTION OF FILING RECEIPT

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Dear Sir:

We have received the Filing Receipt (copy enclosed) for the above-identified U.S. patent application. Upon our review, we have discovered that inventor Nicolas Popp's last name is incorrect. The receipt indicates inventor Nicolas Popp's last name as:

"Pop"

Inventor Nicolas Popp's last name should be corrected to read as follows:

--Popp--

Please correct your records to reflect the correct last name of inventor Nicolas Popp, and send us a corrected filing receipt. If there are any questions regarding this matter, please contact the undersigned.

Respectfully submitted,

THE HECKER LAW GROUP



Date: July 9, 2001

Gary A. Hecker  
Reg. No. 31,023

THE HECKER LAW GROUP  
1925 Century Park East  
Suite 2300  
Los Angeles, California 90067  
(310) 286-0377

**CERTIFICATE OF MAILING**

*This is to certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231 on July 9, 2001.*

*Nancy V. McElrath* 7-9-01  
Signature Date



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO. | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|------------------|----------|------------|------------|
| 09/842,284         | 04/24/2001  | 2671         | 0.00          | 10010.945CPAC    | 22       | 1          | 1          |

CONFIRMATION NO. 5542

22804  
THE HECKER LAW GROUP  
1925 CENTURY PARK EAST  
SUITE 2300  
LOS ANGELES, CA 90067

RECEIVED

JUN 21 2001

THE HECKER LAW GROUP

## FILING RECEIPT



\*OC000000006193173\*

Date Mailed: 06/18/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

*Popp*  
Nicolas Popp, Menlo Park, CA;  
Bruce Ong, San Francisco, CA;  
Charles D'Harcourt, San Francisco, CA;

## Assignment For Published Patent Application

NEXT COMPUTER, INC.;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 08/532,491 09/22/1995 PAT 6,249,291

## Foreign Applications

If Required, Foreign Filing License Granted 06/16/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**Title**

Method and apparatus for developing and managing internet transactions

**Preliminary Class**

345

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**Data entry by :** LEE, KATY,

**Team :** OIPE

**Date:** 06/18/2001



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:



Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



2671

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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|  |                      |                        |                       |
|--|----------------------|------------------------|-----------------------|
| <b>TRANSMITTAL FORM</b><br><i>(to be used for all correspondence after initial filing)</i> | Application Number   | 09/842,284             |                       |
|  | Filing Date          | 04/24/2001             |                       |
|  | First Named Inventor | POPP et al.            |                       |
|  | Group Art Unit       | 2671                   |                       |
|  | Examiner Name        |                        |                       |
| Total Number of Pages in This Submission   | 11                   | Attorney Docket Number | 10010.945CPAC/P2127C2 |

| ENCLOSURES (check all that apply)   |   |  |
|---|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input checked="" type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____<br><div>Remarks</div> | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>Copy of Notice to File Missing Parts; Request for Correction of Filing Receipt; Copy of Filing Receipt; Return postcard |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |  |
|--|--|
| Firm or Individual name                    | Gary A. Hecker, Esq.<br>THE HECKER LAW GROUP |
| Signature                                  |  |
| Date                                       | July 9, 2001                                 |

| CERTIFICATE OF MAILING   |                   |
|--|-------------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <u>July 9, 2001</u> |                   |
| Typed or printed name  | Nancy V. McElrath |
| Signature  |                   |
| Date   | 7-9-01            |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 840

## Complete if Known

|                      |                       |
|----------------------|-----------------------|
| Application Number   | 09/842,284            |
| Filing Date          | 4/24/2001             |
| First Named Inventor | POPP et al.           |
| Examiner Name        |                       |
| Group Art Unit       | 2671                  |
| Attorney Docket No.  | 10010.945CPAC/P2127C2 |

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number   
Deposit Account Name

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Code (\$) | Small Entity Code (\$) | Fee Description        | Fee Paid |
|------------------------|------------------------|------------------------|----------|
| 101 710                | 201 355                | Utility filing fee     | \$710    |
| 106 320                | 206 160                | Design filing fee      |          |
| 107 490                | 207 245                | Plant filing fee       |          |
| 108 710                | 208 355                | Reissue filing fee     |          |
| 114 150                | 214 75                 | Provisional filing fee |          |

SUBTOTAL (1) (\$ 710

### 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims                 | Fee from below         | Fee Paid               |
|--------------------|------------------------------|------------------------|------------------------|
| Independent Claims | -20** = <input type="text"/> | X <input type="text"/> | = <input type="text"/> |
| Multiple Dependent | - 3** = <input type="text"/> | X <input type="text"/> | = <input type="text"/> |

| Large Entity Code (\$) | Small Entity Code (\$) | Fee Description  |
|------------------------|------------------------|--|
| 103 18                 | 203 9                  | Claims in excess of 20                                     |
| 102 80                 | 202 40                 | Independent claims in excess of 3                          |
| 104 270                | 204 135                | Multiple dependent claim, if not paid                      |
| 109 80                 | 209 40                 | ** Reissue independent claims over original patent         |
| 110 18                 | 210 9                  | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130                    | 205 65                     | Surcharge - late filing fee or oath  | \$130    |
| 127 50                     | 227 25                     | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130                    | 139 130                    | Non-English specification  |          |
| 147 2,520                  | 147 2,520                  | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*                   | 112 920*                   | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*                 | 113 1,840*                 | Requesting publication of SIR after Examiner action                        |          |
| 115 110                    | 215 55                     | Extension for reply within first month                                     |          |
| 116 390                    | 216 195                    | Extension for reply within second month                                    |          |
| 117 890                    | 217 445                    | Extension for reply within third month                                     |          |
| 118 1,390                  | 218 695                    | Extension for reply within fourth month                                    |          |
| 128 1,890                  | 228 945                    | Extension for reply within fifth month                                     |          |
| 119 310                    | 219 155                    | Notice of Appeal   |          |
| 120 310                    | 220 155                    | Filing a brief in support of an appeal                                     |          |
| 121 270                    | 221 135                    | Request for oral hearing   |          |
| 138 1,510                  | 138 1,510                  | Petition to institute a public use proceeding                              |          |
| 140 110                    | 240 55                     | Petition to revive - unavoidable   |          |
| 141 1,240                  | 241 620                    | Petition to revive - unintentional   |          |
| 142 1,240                  | 242 620                    | Utility issue fee (or reissue)   |          |
| 143 440                    | 243 220                    | Design issue fee   |          |
| 144 600                    | 244 300                    | Plant issue fee  |          |
| 122 130                    | 122 130                    | Petitions to the Commissioner  |          |
| 123 50                     | 123 50                     | Processing fee under 37 CFR 1.17(a)  |          |
| 126 180                    | 126 180                    | Submission of Information Disclosure Stmt                                  |          |
| 581 40                     | 581 40                     | Recording each patent assignment per property (times number of properties) |          |
| 146 710                    | 246 355                    | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 710                    | 249 355                    | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 710                    | 279 355                    | Request for Continued Examination (RCE)                                    |          |
| 169 900                    | 169 900                    | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 130

## SUBMITTED BY

|                   |                      |                                   |          |           |                |
|-------------------|----------------------|-----------------------------------|----------|-----------|----------------|
| Name (Print/Type) | Gary A. Hecker, Esq. | Registration No. (Attorney/Agent) | 31,023   | Telephone | (310) 286-0377 |
| Signature         |                      | Date                              | 7/9/2001 |           |                |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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